

James A. Hall and Hall Asset Consultants, Inc.

Notice of Intent to Invoke Administrative Sanctions Under the Kansas Securities Act

Date: April 26, 2004

Respondents: James A. Hall, Hall Asset Consultants, Inc., and their representatives or agents

Allegations: A Notice of Intent to Invoke Administrative Sanctions Under the Kansas Securities Act was issued to respondent Hall, who allegedly endorsed an account transfer form and a new account application and agreement in the name of a client without that client's knowledge or permission, and allegedly had more than \$30,000 transferred to his then-employer Linsco/Private Ledger Corporation.

Order of Dismissal

Date: October 15, 2004

Respondents: James A. Hall, Hall Asset Consultants, Inc., and their representatives or agents

Allegations: Hall allegedly endorsed an account transfer form and a new account application and agreement in the name of a client without that client's knowledge or permission, and allegedly had more than \$30,000 transferred to his then-employer Linsco/Private Ledger Corporation. Hall produced evidence in mitigation and defense of the allegations.

Order: The Notice of Intent to Invoke Administrative Sanctions Under the Kansas Securities Act, dated April 23, 2004, and the Amended Notice of Intent to Invoke Administrative Sanctions Under the Kansas Securities Act, dated April 26, 2004, were dismissed.

Notice to Investors: If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](http://www.nasaa.org) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.